Applicant:

GATTO

Serial No:

09/893,460 June 29, 2001

Filing Date:

Page:

2 of 21

This listing of claims will replace all prior versions and listings of claims in the Application.

**LISTING OF CLAIMS:** 

1. (Currently Amended) A system for monitoring analysts' estimates, comprising:

means for storing, in a data repository on a per analyst basis, current estimate data for a plurality of analysts, the current estimate data including at least an estimate amount and when the estimate was made;

means for analyzing the current estimate data and determining to determine when one or more alert conditions are satisfied; and

means for issuing, via a graphical user interface displayed on a display device, an alert when at least one of the satisfied alert conditions further satisfy at least one predetermined alert condition is satisfied for at least one analyst of the plurality of analysts.

- 2. **(Original)** The system of claim 1, wherein one alert condition is based on whether an analyst's estimate is older than a predetermined amount of time.
- 3. (Previously Presented) The system of claim 1, wherein one alert condition is based on whether an analyst's estimate is older than a date associated with a detected cluster of estimate revisions.

Applicant:

**GATTO** 

Serial No:

09/893,460 June 29, 2001

Filing Date: Page:

3 of 21

4. (**Currently Amended**) The system of claim 1, further comprising:

means for defining conditions that constitute a cluster of estimate revisions,

detecting [[a]] the cluster of estimate revisions, and issuing at least one alert when an

analyst's estimate is older than a date associated with [[a]] the detected cluster of estimate

revisions.

5. (Currently Amended) The system of claim 4, wherein the at least one

predetermined alert condition is based on whether an analyst's estimate is more than a

predetermined period of time older than a date associated with [[a]] the detected cluster of

estimate revisions.

6. (Original) The system of claim 1, wherein one alert condition is based on whether an

analyst's estimate differs from a summary metric of a plurality of analysts' estimates by a

predetermined value.

7. (Original) The system of claim 6, wherein the summary metric comprises a measure

of central tendency, the measure of central tendency comprising at least one of a mean,

median, or mode.

8. (Original) The system of claim 6, wherein the summary metric comprises a

conditional summary metric qualified by at least one qualifying metric.

Applicant:

GATTO

Serial No:

09/893,460 June 29, 2001

Filing Date:

Page:

4 of 21

9. (Original) The system of claim 8, wherein the at least one qualifying metric

comprises at least one of a predetermined time period, a particular security, or a group of

securities.

10. (Original) The system of claim 6, wherein the predetermined value is more than "n"

standard deviations away from a mean estimate, wherein "n" is an integer.

11. (Original) The system of claim 6, wherein the predetermined value comprises a

currency unit.

12. (Original) The system of claim 6, wherein the predetermined value comprises a

percentage.

13. (**Currently Amended**) The system of claim 1, further comprising:

means for displaying an the at least one analyst, the at least one analyst's estimates,

and simultaneously displaying an alert indicator in association with an the at least one

analyst's estimate that satisfies at least one the predetermined alert condition.

14. (Currently Amended) The system of claim 13, further comprising:

means for further displaying data associated with the at least one predetermined

alert condition.

Applicant:

GATTO

Serial No:

09/893,460

Filing Date:

June 29, 2001

Page:

5 of 21

15. (Currently Amended) The system of claim 14, wherein the data associated with the

at least one predetermined alert condition comprises an indication of the at least one

predetermined alert condition.

16. (Currently Amended) The system of claim 14, wherein the data associated with the

at least one predetermined alert condition comprises data relating to when the at least one

predetermined alert condition was triggered satisfied.

17. (Currently Amended) The system of claim 14, wherein the data associated with the

at least one predetermined alert condition comprises an indication of the at least one

predetermined alert condition and data relating to when the at least one predetermined

alert condition was triggered satisfied.

18. (**Previously Presented**) The system of claim 1, further comprising:

means for displaying a list of a plurality of analysts' estimates, where the list

comprises a group of analysts for which there is at least one satisfied alert condition.

19. (Original) The system of claim 18, wherein the group of analysts further comprises

at least one of analysts associated with a particular firm, or analysts with estimates in a

particular industry.

Applicant:

GATTO

Serial No:

09/893,460

Filing Date:

June 29, 2001

Page:

6 of 21

20. (Currently Amended) The system of claim 1, further comprising:

means for displaying a list of a plurality of analysts' estimates, wherein the list

consists comprises of analysts for which there is at least one satisfied alert condition; and

means for displaying data associated with the at least one satisfied alert condition.

21. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to view all of the satisfied alert conditions alerts associated with the at least one

analyst.

22. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to view selected alerts one or more of the satisfied alert conditions associated with

the at least one analyst.

23. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to view all of the satisfied alert conditions alerts associated with the at least one

analyst for at least one selected time period.

24. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to view selected alerts one or more of the satisfied alert conditions associated with

the at least one analyst for at least one selected time period.

Applicant:

GATTO

Serial No:

09/893,460

Filing Date:

June 29, 2001

Page:

7 of 21

25. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to define the alert conditions.

26. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to specify an action to be taken when an alert condition is one or more of the alert

conditions are satisfied.

27. (Currently Amended) The system of claim 26, wherein the action comprises issuing

an alert transmitting a message corresponding to the issued alert to a predetermined

device.

28. (Currently Amended) The system of claim 26 27, wherein the action comprises

issuing an alert message is transmitted by at least one of an e-mail message, phone, fax, or

pager.

29. (Currently Amended) The system of claim 1, wherein an alert a message is

transmitted sent to a specified recipient when the at least one predetermined alert

condition is satisfied for the at least one analyst.

30. (Currently Amended) The system of claim 29, wherein the specified recipient is the

at least one analyst.

Applicant:

GATTO

Serial No:

09/893,460 June 29, 2001

Filing Date: Page:

8 of 21

31. (Currently Amended) The system of claim 29, wherein the specified recipient is

someone associated with the at least one analyst.

32. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to specify the a frequency for analyzing the current estimate data to determine

determining when the one or more alert conditions are satisfied.

33. (Currently Amended) The system of claim 1, further comprising means for enabling

a user to specify how often a frequency for issuing the alert system should issue-user alerts

that the at least one predetermined alert condition has been satisfied.

34. (Currently Amended) The system of claim 1, wherein the estimate amount relates to

an estimate of a security's earnings estimate for a fiscal period.

35. (Currently Amended) The system of claim 34, wherein the fiscal period comprises at

least one of a fiscal quarter, a plurality of fiscal quarters, a fiscal year, or a plurality of fiscal

years.

36. (Currently Amended) The system of claim 1, wherein the current estimate data

comprises a financial projection.

Applicant:

GATTO

Serial No:

09/893,460

Filing Date:

June 29, 2001

Page:

9 of 21

37. (Currently Amended) The system of claim 1, further comprising means for enabling

an analyst to change or confirm an the current estimate data in response to an the issued

alert.

38. (Currently Amended) The system of claim 37, wherein an alert indicator changes

when an the analyst has taken action changed or confirmed the current estimate data in

response to the issued alert.

39. (Previously Presented) The system of claim 37, wherein a different visual

representation of an alert indicator is provided depending on an action taken in response to

the alert.

40. (Previously Presented) A computer-implemented method for monitoring analysts'

estimates, comprising the steps of:

storing, in a data repository on a per analyst basis, current estimate data for a

plurality of analysts, the current estimate data including at least an estimate amount and

when the estimate was made;

analyzing the current estimate data and determining to determine when one or

more alert conditions are satisfied; and

issuing, via a graphical user interface displayed on a display device, an alert when at

least one of the satisfied alert conditions further satisfy at least one predetermined alert

condition is satisfied for at least one analyst of the plurality of analysts.